

EFW

TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	10/603,019	
	Filing Date	June 26, 2003	
	First Named Inventor	Shunpei YAMAZAKI et al.	
	Group Art Unit	2818	
	Examiner Name	Dung-Anh LE	
Total Number of Pages in This Submission		Attorney Docket Number	740756-2626

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Request for Reconsideration / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Declaration and Power of Attorney <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Application Data Sheet <input type="checkbox"/> Request for Corrected Filing Receipt with Enclosures <input type="checkbox"/> A self-addressed prepaid postcard for acknowledging receipt <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <u>PTO-1449 Form w/12 documents & 7 Abstracts</u>
Remarks		<input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees required or credit any overpayments to Deposit Account No. 19-2380 for the above identified docket number.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	<u>Luan C. Do, Reg. No. 38,434</u> Nixon Peabody LLP 401 9 th Street, N.W. Suite 900 Washington, D.C. 20004-2128
Signature	
Date	February 10, 2005

CERTIFICATE OF MAILING OR TRANSMISSION [37 CFR 1.8(a)]	
I hereby certify that this correspondence is being:	
<input checked="" type="checkbox"/> deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Mail Stop <u>AMENDMENT</u> , Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450	
<input type="checkbox"/> transmitted by facsimile on the date shown below to the United States Patent and Trademark Office, at (703) _____	
<u>February 10, 2005</u> Date	 Signature <u>Deborah Movahhedi</u> Typed or printed name

FEE TRANSMITTAL FOR FY 2005

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT

(\$180)

Complete if Known

Application Number

10,03,019

Filing Date

June 26, 2003

First Named Inventor

Shunpei YAMAZAKI et al.

Examiner Name

Dung-Anh LE

Art Unit

2818

Attorney Docket No.

740756-2626

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number

19-2380 [740756-2626]

Deposit Account Name

Nixon Peabody LLP

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s)

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FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
1001	300	2001	150	Utility filing fee	
1002	200	2002	100	Design filing fee	
1003	200	2003	100	Plant filing fee	
1004	300	2004	150	Reissue filing fee	
1005	200	2005	100	Provisional filing fee	

SUBTOTAL (1) (\$ 0)

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
-20** =	X		0
Independent Claims	-3** =	X	0
Multiple Dependent	X		0

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description
1202	50	2202	25	Claims in excess of 20
1201	200	2201	100	Independent claims in excess of 3
1203	360	2203	180	Multiple dependent claim, if not paid
1204	200	2204	100	** Reissue independent claims over original patent
1205	50	2205	25	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 0)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description
1051	130	2051	65	Surcharge - late filing fee or oath
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet
1053	130	2053	130	Non-English specification
1812	2,520	2812	2,520	For filing a request for <i>ex parte</i> reexamination
1804	920*	2804	920*	Requesting publication of SIR prior to Examiner action
1805	1,840*	2805	1,840*	Requesting publication of SIR after Examiner action
1251	120	2251	60	Extension for reply within first month
1252	450	2252	225	Extension for reply within second month
1253	1,020	2253	510	Extension for reply within third month
1254	1,590	2254	795	Extension for reply within fourth month
1255	2,160	2255	1,080	Extension for reply within fifth month
1401	500	2401	250	Notice of Appeal
1402	500	2402	250	Filing a brief in support of an appeal
1403	1,000	2403	500	Request for oral hearing
1451	1,510	2451	1,510	Petition to institute a public use proceeding
1452	500	2452	250	Petition to revive - unavoidable
1453	1,500	2453	750	Petition to revive - unintentional
1501	1,400	2501	700	Utility issue fee (or reissue)
1502	800	2502	400	Design issue fee
1503	1,100	2503	550	Plant issue fee
1460	130	2460	130	Petitions to the Commissioner
1807	50	2807	50	Processing fee under 37 CFR 1.17(q)
1806	180	2806	180	Submission of Information Disclosure Stmt
8021	40	28021	40	Recording each patent assignment per property (times number of properties)
1809	790	2809	395	Filing a submission after final rejection (37 CFR 1.129(a))
1810	790	2810	395	For each additional invention to be examined (37 CFR 1.129(b))
1801	790	2801	395	Request for Continued Examination (RCE)
1802	900	2802	900	Request for expedited examination of a design application

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 180)

CERTIFICATE OF MAILING OR TRANSMISSION [37 CFR 1.8(a)]

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February 10, 2005

Date

Signature

Deborah Movahhedi

Typed or printed name

SUBMITTED BY

Name (Print/Type)

Luan C. Do

Registration No. (Attorney/Agent)

38,434

Signature

Complete (if applicable)

Telephone

(202) 585-8000

Date

February 10, 2005

SEND TO: Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Large Patent Application of:
Shunpei YAMAZAKI et al.
Application No. 10/603,019
Filed: June 26, 2003
For: METHOD OF MANUFACTURING A
SEMICONDUCTOR DEVICE HAVING THIN FILM)
TRANSISTOR AND CAPACITOR (AS AMENDED))

) Confirmation No.: 3291
) Examiner: Dung-Anh LE
) Group Art Unit: 2818
)
) February 10, 2005

INFORMATION DISCLOSURE STATEMENT

Mail Stop AMENDMENT
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure as set forth in 37 C.F.R. §1.56, Applicants hereby submit the following information in conformance with 37 C.F.R. §§ 1.97 and 1.98. No copy of the U.S. Patent documents have been supplied with this Information Disclosure Statement in accordance with Official Gazette Notice dated August 5, 2003. Pursuant to 37 C.F.R. § 1.98, a copy of each of the other documents cited is enclosed.

Application No. 09/542,473 cited in the attached form PTO 1449 may be related to the subject matter of this instant application. The remaining references in the form PTO 1449 were cited in the 09/542,473 application.

The Commissioner is hereby authorized to charge the fees connected with this filing in the amount of \$180.00, which is required in compliance with the provisions of 37 C.F.R. § 1.97(c), or credit any overpayment to Deposit Account No. 19-2380 (740756-2067).

It is requested that the accompanying PTO-1449 be considered and made of record in the above-identified application. To assist the Examiner, the documents are listed on the attached form PTO-1449. It is respectfully requested that the Examiner initial a copy of this form and return it to the undersigned.

Respectfully submitted,

By: _____

Luan C. Do

Registration No. 38,434

NIXON PEABODY LLP
Suite 900
401 9th Street, N.W.
Washington, DC 20004-2128
Telephone: (202) 585-8000

Certificate of Mailing - 37 CFR 1.8(a)

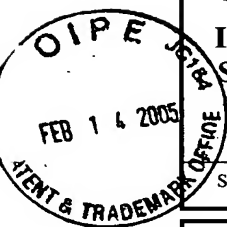
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Date

2-10-05

D. Movahhedi
D. Movahhedi

02/15/2005 RFEKADU1 00000032 192380 10603019
W635346.2
01.FC:1806 180.00 DA



Substitute for form 1449A/PTO				Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Application Number	
				10/603,019	
				Filing Date	
				June 26, 2003	
				First Named Inventor	
		Shunpei YAMAZAKI et al.			
Art Unit		2818			
Examiner Name		Dung-Anh LE			
Attorney Docket Number		740756-2626			
Sheet	1	of	2		

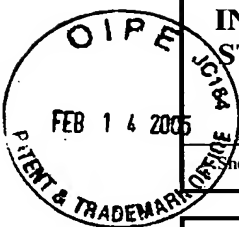
U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	U.S. Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
		US-5,323,042	06-21-1994	MATSUMOTO	
		US-5,412,493	05-02-1995	KUNII et al.	
		US-5,528,056	06-18-1996	SHIMADA et al.	
		US-5,594,569	01-14-1997	KONUMA et al.	
		US-5,652,158	07-29-1997	BAE	
		US-5,757,444	05-26-1998	TAKEMURA	
		US-5,767,930	06-16-1998	KOBAYASHI et al.	
		US-5,852,488	12-22-1998	TAKEMURA	
		US-5,953,582	09-14-1999	YUDASAKA et al.	
		US-6,013,929	01-11-2000	OHTANI	
		US-6,088,070	07-11-2000	OHTANI et al.	
		US-6,140,162	10-31-2000	YEO	
		US-6,166,436	12-26-2000	MAEDA et al.	
		US-2001/0000627 A1	05-03-2001	HAYAKAWA et al.	
		US-6,323,490 B1	11-27-2001	IKEDA et al.	
		US-6,337,731 B1	01-08-2002	TAKEMURA	
		US-6,399,988 B1	06-04-2002	YAMAZAKI	
		US-6,531,713 B1	03-11-2003	YAMAZAKI	
		US-6,579,736 B2	06-17-2003	YAMAZAKI	
		US-6,693,681 B1	02-17-2004	TAKEMURA	
		US-6,734,924 B2	05-11-2004	HIRAKATA et al.	
		US-6,777,255 B2	08-17-2004	YAMAZAKI	

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				
		JP 63-222443	09-16-1988	OKABE		Abst
		JP 03-091721	04-17-1991	SAITO et al.		Abst
		JP 05-307165	11-19-1993	OZAWA		Abst
		JP 07-326767	12-12-1995	IKEDA		Abst
		JP 09-074204	03-18-1997	MOROSAWA		Abst
		JP 10-012895	01-16-1998	KAWAURA et al.		Abst
		JP 11-097701	04-09-1999	INOUE		Abst
		EP 0 989 614 A2	03-29-2000	YAMAZAKI et al.		

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at 222.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.



Substitute for form 1449B/PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>		Application Number	10/603,019
		Filing Date	June 26, 2003
		First Named Inventor	Shunpei YAMAZAKI et al.
		Group Art Unit	2818
		Examiner Name	Dung-Anh LE
Sheet 2	of 2	Attorney Docket Number	740756-2626

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials [*]	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		U.S. Application No. 09/542,473; Filed: April 4, 2000; Takayuki IKEDA et al.; ELECTROOPTICAL DEVICE AND A METHOD OF MANUFACTURING THE SAME	
		H. FURUE et al., P-78: Characteristics and Driving Scheme of Polymer-Stabilized Monostable FLC/D Exhibiting Fast Response Time and High Contrast Ratio with Gray-Scale Capability; SID 98 Digest, pgs. 782-785.	
		T. YOSHIDA et al., 33.2: A Full-Color Thresholdless Antiferroelectric LCD Exhibiting Wide Viewing Angle with Fast Response Time, SID 97 Digest, pgs. 841-844.	
		M. LEE et al., New Polycrystalline Silicon TFT's with Selectively Doped Region in The Channel, IDW '99 Proceedings of The Sixth International Display Workshops, December 1-3, 1999, pgs. 1097-1098.	

Examiner Signature		Date Considered	
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* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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